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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE PATENT APPLICATION OF: Phillips et al **OUR FILE NO: 78384 (18-32 US DIV1)**

SERIAL NUMBER: 10/706,142

GROUP: 1772

FILED: November 12, 2003

EXAMINER: Unassigned

TITLE: METHODS FOR FORMING SECURITY ARTICLES HAVING DIFFRACTIVE SURFACES AND COLOR SHIFTING BACKGROUNDS

CONFIRMATION NO: 6069

Information Disclosure Statement

Mail Stop Amendment

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

Transmitted herewith is an Information Disclosure Statement (Form PTO-1449A) in the above-captioned application with references. Copies of the published applications as well as pending application are provided for the Examiner's convenience. In accordance with current USPTO procedures published 05 AUG 2003, in 1276 OG 55, copies of the U.S. patent documents cited in the form 1449A are not attached.

Certification

This Information Disclosure Statement is submitted within three months of:

- (i) the filing date of the above-identified U.S. National Patent application, or
- (ii) the date of entry into the U.S. National Stage of the above-identified International Application, or
- (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies.

This Information Disclosure Statement is submitted prior to the mailing date of the first Office Action on the merits received by Applicant in the above-identified application.

This Information Disclosure Statement is submitted after three months from

- (i) the filing date of the above-identified U.S. National Patent application, or
- (ii) after three months from entry into the U.S. National Stage of the above-identified International Application; or
- (iii) the date of entry into the U.S. National Stage of the International Application that has been assigned the above-identified U.S. Patent application number, whichever applies; and after the mailing date of the first Office Action on the merits of the above-identified application, but prior to issuance of the earlier of any Final Action or Notice of Allowance sent in such application. The certification under 37 C.F.R. § 1.97(e) is submitted separately or below, or the fee required under 37 C.F.R. § 1.97(c) and § 1.17(p) is submitted herewith.

This Information Disclosure Statement is submitted after the earlier of the mailing date of a final rejection or Notice of Allowance sent in this application but before payment of the Issue Fee. The certification required under 37 C.F.R. § 1.97(e) is submitted separately or below. A petition to the Commissioner and the appropriate fee pursuant to § 1.17(i) (1) are submitted herewith.

____ A certification under 37 C.F.R §1.97 is submitted herewith separately from this paper.

____ It is hereby certified that each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

____ No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this statement.

Respectfully submitted,



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CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to: M/S AMENDMENT, COMMISSIONER OF PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450, on this 18 day of March, 2005.

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Form PTO 1449A U.S. Department of Commerce Patent and Trademark Office Information Disclosure Statement by Applicant		ATTY. DOCKET NUMBER: 78384 (18-32 US DIV1)	SERIAL NUMBER: 10/706,142
APPLICANT: PHILLIPS ET AL			
FILING DATE: NOVEMBER 12, 2003		GROUP: 1772	

U.S. Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILED APPN
	6,692,830	Feb 17, 2004	Argoitia et al.	428	403	
	6,749,777	Jun 15, 2004	Argoitia et al.	252	582	
	6,761,959	July 13, 2004	Bonkowski et al.	428	156	
	20040081807	Apr 29, 2004	Bonkowski et al.	428	195.1	
	20040105963	Jun 3, 2004	Bonkowski et al.	428	195.1	
	10/666,318	Sep 18, 2003	Phillips et al.			
	11/047,389	Jan 31, 2005	Phillips et al.			

Foreign Patent Documents

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)

EXAMINER		DATE CONSIDERED
<i>EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP 609; draw a line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant</i>		